

TOWNSEND and TOWNSEND and CREW LLP

By: /Tiffany Wu/

Tiffany Wu

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

SRIKANTH KARIMISETTY et
al.

Application No.: 10/731,299

Filed: December 8, 2003

For: METHOD AND SYSTEM FOR
COLLECTING AN ELECTRONIC
SIGNATURE FOR AN ELECTRONIC
RECORD STORED IN A DATABASE

Confirmation No.: 3624

Examiner: Nirav B. Patel

Art Unit: 2135

SUPPLEMENTAL INFORMATION
DISCLOSURE STATEMENT UNDER
37 CFR §1.97 and §1.98

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. Copies of the references [in compliance with the requirements of 37 CFR §1.98(a)(2)] are enclosed.

It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the “references cited” on any patent to issue therefrom.

As provided for by 37 CFR §1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no

representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

This IDS is being filed before the mailing date of the final Office Action or Notice of Allowance.

Please charge the IDS fee of \$180 to Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

/Sean F. Parmenter/
Sean F. Parmenter
Reg. No. 53,437

TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, Eighth Floor
San Francisco, California 94111-3834
Tel: 925-472-5000
Fax: 925-472-8895
SFP:tfw

Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Application Number	10/731,299
		Filing Date	December 8, 2003
		First Named Inventor	Karimisetty, Srikanth
		Art Unit	2135
		Examiner Name	Nirav B. Patel
Sheet	1	of	4
		Attorney Docket Number	021756-005200US

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code ² (If known)			
	1	5,434,917	07-18-1995	Naccache et al.	
	2	5,504,818	04-02-1996	Okano	
	3	5,978,475	11-02-1999	Schneier et al.	
	4	6,240,407	05-29-2001	Chang et al.	
	5	6,295,513	09-25-2001	Thackston	
	6	6,366,934	04-02-2002	Cheng et al.	
	7	6,796,489	09-28-2004	Slater et al.	
	8	6,807,633	10-19-2004	Pavlik	
	9	6,820,082	11-16-2004	Cook et al.	
	10	6,928,396	08-09-2005	Thackston	
	11	6,959,281	10-25-2005	Freeling et al.	
	12	6,983,423	01-03-2006	Dvorak et al.	
	13	7,039,805	05-02-2006	Messing	
	14	7,089,235	08-08-2006	Dettinger et al.	
	15	7,136,873	11-14-2006	Smith et al.	
	16	7,174,328	02-06-2007	Stanoi et al.	
	17	7,185,192	02-27-2007	Kahn	
	18	7,228,300	06-05-2007	Lei et al.	
	19	2001/0002485	05-31-2001	Bisbee et al.	
	20	2002/0010764	01-24-2002	Spicer	
	21	2002/0049670	04-25-2002	Moritsu et al.	
	22	2002/0156756	10-24-2002	Stanley et al.	
	23	2002/0157006	10-24-2002	Narishima et al.	
	24	2003/0009295	01-09-2003	Markowitz et al.	
	25	2003/0065936	04-03-2003	Wray	
	26	2003/0131241	07-10-2003	Gladney	
	27	2003/0149608	08-07-2003	Kall et al.	
	28	2003/0150908	08-14-2003	Pokorny et al.	
	29	2003/0177041	09-18-2003	Millican et al.	
	30	2003/0196108	10-16-2003	Kung	
	31	2003/0200130	10-23-2003	Kall et al.	
	32	2004/0039706	02-26-2004	Skowron et al.	
	33	2004/0068757	04-08-2004	Heredia	
	34	2004/0236660	11-25-2004	Thomas et al.	
	35	2005/0102158	05-12-2005	Maeda, Chris	

Examiner Signature	Date Considered
-----------------------	--------------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English Language Translation is attached.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Complete if Known			
		Application Number	10/731,299		
		Filing Date	December 8, 2003		
		First Named Inventor	Karimisetty, Srikanth		
		Art Unit	2135		
Examiner Name	Nirav B. Patel				
Sheet	2	of	4	Attorney Docket Number	021756-005200US

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code ² (if known)			
	36	2005/0108153	05-19-2005	Thomas et al.	
	37	2005/0132201	06-16-2005	Pitman et al.	
	38	2005/0240770	10-27-2005	Lane et al.	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
								<input type="checkbox"/>
								<input type="checkbox"/>

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Complete If Known	
				<i>Application Number</i>	10/731,299
				<i>Filing Date</i>	December 8, 2003
				<i>First Named Inventor</i>	Karimisetty, Srikanth
				<i>Art Unit</i>	2135
				<i>Examiner Name</i>	Nirav B. Patel
<i>Sheet</i>	3	<i>of</i>	4	<i>Attorney Docket Number</i>	021756-005200US

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials *	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²	
	39	BERTINO et al. "Integrating XML and Databases" IEEE Internet Computing July-Aug 2001		<input type="checkbox"/>
	40	CHUEH et al., "An XML Portable Chart Format," 1998, Proc AMIA Symp., pp. 730-734.		<input type="checkbox"/>
	41	FDA, Guidance for Industry Part 11, Electronic Records; Electronic Signatures - Scope and Application, Aug. 2003.		<input type="checkbox"/>
	42	MATHIESON, "Implementing Oracle Workflow," European Oracle User Group 1999 Presentation pages 1-11		<input type="checkbox"/>
	43	MEEHAN, "Deploying Hummingbird Document and Records Management Products to Comply with 21 CFR Part 11: Electronic Records; Electronic Signatures," April 2003, Hummingbird.		<input type="checkbox"/>
	44	MUIRHEAD, "Impact of 21 CFR Part 11 on clinical laboratories: An overview," Aug. 2001, American Clinical Laboratory, pp. 33-34.		<input type="checkbox"/>
	45	NOFERI et al. "Information Age Audits" BioPharm Jan 2002 pgs 35-39 and 50		<input type="checkbox"/>
	46	ORACLE, "Oracle Workflow Release 2.6.2 Business Event System and PL/SQL Development Guidelines October 2001 26 pages		<input type="checkbox"/>
	47	ORACLE, "Question & Answer Document for Oracle Appsworld" January 19-22, 2003 pg 1-81		<input type="checkbox"/>
	48	ORACLE, Oracle Life Sciences Platform Feature Summary, Feb. 2003, Oracle Corp.		<input type="checkbox"/>
	49	PAPAZOGLOU, "The World of e-Business: Web-Services, Workflows, and Business Transactions" WES 2002, LNCS 2512, pp 153-173, 2002		<input type="checkbox"/>
Examiner Signature				Date Considered

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Complete if Known	
				<i>Application Number</i>	10/731,299
				<i>Filing Date</i>	December 8, 2003
				<i>First Named Inventor</i>	Karimisetty, Srikanth
				<i>Art Unit</i>	2135
				<i>Examiner Name</i>	Nirav B. Patel
Sheet	4	of	4	<i>Attorney Docket Number</i>	021756-005200US

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²	
	50	SmarTeam, SMARTEAM - FDA Compliance Configuration (SFA), IBM/SmarTeam, Sep. 2003.	<input type="checkbox"/>	
	51	SmarTeam, SMARTeam™ FDA Compliance Technical Paper Functional Compliance With FDA Rule 21 CFR Part 11, July 2002, SMARTEAM Corp.	<input type="checkbox"/>	
	52	STEMBER, LABTrack: Introducing a legal electronic lab notebook, 221st National Meeting, American Chemical Society, Division of Chemical Information.	<input type="checkbox"/>	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

¹ EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

² Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.